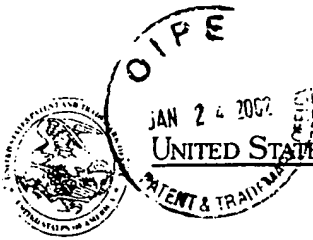


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Page 1 of 1

#13



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/970,078	10/03/2001	John Bunda	5226-02200

CONFIRMATION NO. 8120

FORMALITIES LETTER



OC000000007003824

ERIC B. MEYERTONS
CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398
AUSTIN, TX 78767-0398

Date Mailed: 10/31/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$378.
 - \$378 for 21 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1248.

01/29/2002 HTECKLU1 00000001 501505 09970078

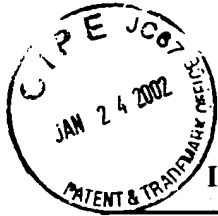
01 FC:101	740.00 CH
02 FC:103	378.00 CH
03 FC:105	130.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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Scetor
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/970,078
Filed: October 3, 2001
Inventor(s):
John Bunda

§ Examiner: Unknown
§ Group/Art Unit: 2163
§ Atty. Dkt. No: 5226-02200
§
§
§
§
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§
§
§

Title: METHODS AND
SYSTEMS FOR
MANAGING A
PORTFOLIO OF
SECURITIES

CERTIFICATE OF MAILING
UNDER 37 C.F.R. §1.8

DATE OF DEPOSIT: 12-21-01

I hereby certify that this correspondence is being deposited with
the United States Postal Service with sufficient postage as first
class mail on the date indicated above and is addressed to:

ATTN: Box Missing Parts
Commissioner for Patents
Washington, DC 20231

Jackie L. Pire

RESPONSE TO NOTICE TO FILE MISSING PARTS
OF NONPROVISIONAL APPLICATION MAILED OCTOBER 31, 2001

ATTN: Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant encloses the following in response to the Notice to File Missing Parts of
Nonprovisional Application:

- (1) Copy of Notice to File Missing Parts of Nonprovisional Application (1 page);
- (2) Originally executed Declaration (2 pages);
- (3) Form PTO-1595 Assignment Recordation Cover Sheet (1 page);
- (4) Originally executed Assignment (2 pages);
- (5) Originally executed Election Under 37 C.F.R. §§ 3.71 and 3.73 and Power of Attorney (2 pages);

John Bunda
09/970,078

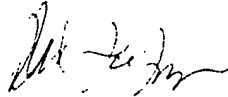
- (6) Fee Authorization in the amount of \$1,288.00 to cover the filing fees as follows (2 pages):

\$ 740.00 -- basic filing fee;
\$ 378.00 -- surcharge for excess claims;
\$ 130.00 -- surcharge for late filing of declaration and fee;
\$ 40.00 -- assignment recordation fee; and

- (7) A return postcard.

If any further extension of time is required, Applicant hereby respectfully requests the appropriate extension of time. If any fees are inadvertently omitted or if any additional fees are required or have been overpaid, please appropriately charge or credit those fees to Conley, Rose & Tayon, P.C. Deposit Account Number 50-1505/5226-02200/EBM.

Respectfully submitted,



Mark R. DeLuca
Reg. No. 44,649

CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398
AUSTIN, TX 78767-0398
(512) 703-1423 (voice)
(512) 703-1250 (facsimile)

Date: 12/21/01



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/970,078
Filed: October 3, 2001
Inventor(s):
John Bunda

Title: METHODS AND
SYSTEMS FOR
MANAGING A
PORTFOLIO OF
SECURITIES

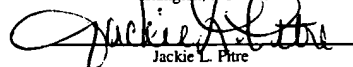
§ Examiner: Unknown
§ Group/Art Unit: 2163
§ Atty. Dkt. No: 5226-02200
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CERTIFICATE OF MAILING
UNDER 37 C.F.R. §1.8

DATE OF DEPOSIT: 12-11-01

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Washington, D.C. 20231


Jackie L. Pfre

FEE AUTHORIZATION

ATTN: Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

The Commissioner is hereby authorized to charge the following fees to Conley, Rose & Tayon,
P.C. Deposit Account Number 50-1505/5226-02200:

- \$ 740.00 -- basic filing fee;
- \$ 378.00 -- excess claims fee;
- \$ 40.00 -- assignment recordation fee; and
- \$ 130.00 -- surcharge for late filing of declaration and fee

Total Amount: \$1,288.00

Attorney Docket No.: 5226-02200

John Bunda
09/970,078

The Commissioner is also authorized to charge any extension fee or other fees which may be necessary to the same account number. If the above mentioned account is found to have insufficient funds, the Commissioner is authorized to charge Conley, Rose & Tayon, P.C. Deposit Account Number 50-1623/5226-02200/EBM.

Respectfully submitted,



Mark R. DeLuca
Reg. No. 44,649

Patent Agent

CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398
AUSTIN, TX 78767-0398
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(512) 703-1250 (facsimile)

Date: 12/21/01